


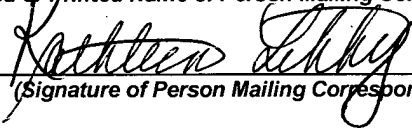
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TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER ALCN-122US
INTERNATIONAL APPLICATION NO. PCT/CA03-02002	INTERNATIONAL FILING DATE 22 December 2003	U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/539,722
PRIORITY DATE CLAIMED 23 December 2002		
TITLE OF INVENTION ALUMINUM ALLOY TUBE AND FIN ASSEMBLY FOR HEAT EXCHANGERS HAVING IMPROVED CORROSION RESISTANCE AFTER BRAZING		
APPLICANT(S) FOR DO/EO/US Nicholas C. Parson		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.		
2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.		
3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.		
4. <input type="checkbox"/> The US has been elected (Article 31).		
5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))		
a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).		
b. <input type="checkbox"/> has been communicated by the International Bureau.		
c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).		
6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).		
a. <input type="checkbox"/> is attached hereto.		
b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).		
7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))		
a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).		
b. <input type="checkbox"/> have been communicated by the International Bureau.		
c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.		
d. <input type="checkbox"/> have not been made and will not be made.		
8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).		
9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).		
10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).		
Items 11 to 20 below concern document(s) or information included:		
11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.		
12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.		
13. <input type="checkbox"/> A preliminary amendment.		
14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.		
15. <input type="checkbox"/> A substitute specification.		
16. <input type="checkbox"/> A power of attorney and/or change of address letter.		
17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.		
18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).		
19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		
20. <input checked="" type="checkbox"/> Other items or information: PTO-2038, Postcard, and Certificate of Express Mailing EV689864681US		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/539,722	INTERNATIONAL APPLICATION NO. PCT/CA03-02002	ATTORNEY'S DOCKET NUMBER ALCN-122US
The following fees have been submitted 21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a)) \$300 22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)... \$0 All other situations..... \$200 23. <input type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion prepared by ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)... \$0 Search fee (37 CFR 1.44(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared by an ISA other than the US, and provided to the Office or previously communicated to the US by the IB \$400 All other situations..... \$500 TOTAL OF 21, 22 and 23 =		CALCULATIONS PTO USE ONLY \$ \$ \$ \$ \$
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. Total Sheets Extra Sheets Number of each additional 50 or fraction thereof (round up to a whole number) RATE - 100 = /50 = x \$250		\$
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).		\$ 130
CLAIMS	NUMBER FILED	NUMBER EXTRA
Total claims	- 20 =	x \$ 50
Independent claims	- 3 =	x \$ 200
MULTIPLE DEPENDENT CLAIM(S) (if applicable)		+ \$ 360
TOTAL OF ABOVE CALCULATIONS =		\$
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.		
SUBTOTAL =		\$ 130
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).		\$
TOTAL NATIONAL FEE =		\$
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property		\$
TOTAL FEES ENCLOSED =		\$ 130
LLANDGRA 00000053 10539722		Amount to be refunded: \$
130.00 OP		Amount to be charged: \$ 130
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>18-0350</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.		
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.		
SEND ALL CORRESPONDENCE TO: <input checked="" type="checkbox"/> Customer Number <u>23-122</u> OR <input type="checkbox"/> Ratner Prestia, P.O. Box 980, Valley Forge, PA 19482 <input type="checkbox"/> Ratner Prestia, P.O. Box 1596, Wilmington, DE 19899 Date: _____		
 SIGNATURE Jonathan H. Spadt NAME 45,122 REGISTRATION NUMBER		

 04/20/2006
 01 FC:1617

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s):			Docket No. ALCN-122US
Serial No. 10/539,722	Filing Date June 20, 2005	Examiner To Be Assigned	Group Art Unit To Be Assigned
Invention: ALUMINUM ALLOY TUBE AND FIN ASSEMBLY FOR HEAT EXCHANGERS HAVING IMPROVED CORROSION RESISTANCE AFTER BRAZING			
I hereby certify that the following correspondence: <div style="border: 1px solid black; padding: 10px; margin: 10px 0;">Form PTO-1390, Credit Card Payment Form-2038, Declaration/Power of Attorney, Copy of Notice of Missing Requirements, Postcard.</div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to:</p> <p>Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on April 13, 2006</p> <div style="text-align: right; margin-top: 20px;"><div style="display: inline-block; text-align: left;"><div style="border-bottom: 1px solid black; width: 150px; margin-bottom: 5px;">Kathleen Libby</div><div style="font-size: small; margin-bottom: 5px;"><i>(Typed or Printed Name of Person Mailing Correspondence)</i></div><div style="border-bottom: 1px solid black; width: 150px; margin-bottom: 5px;"></div><div style="font-size: small; margin-bottom: 5px;"><i>(Signature of Person Mailing Correspondence)</i></div></div><div style="display: inline-block; text-align: left; margin-top: 10px;"><div style="border-bottom: 1px solid black; width: 150px; margin-bottom: 5px;">EV689864681US</div><div style="font-size: small; margin-bottom: 5px;"><i>("Express Mail" Mailing Label Number)</i></div></div></div> <p style="text-align: center; margin-top: 20px;">Note: Each paper must have its own certificate of mailing.</p>			



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
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P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

U.S. APPLICATION NUMBER NO.

10/539,722

FIRST NAMED APPLICANT

Nicholas Charles Parson

ATTY. DOCKET NO.

ALCN-122US

23122

RATNERPRESTIA

P O BOX 980

VALLEY FORGE, PA 19482-0980

RECEIVED

FEB 24 2006

RatnerPrestia

INTERNATIONAL APPLICATION NO.

PCT/CA03/02002

I.A. FILING DATE

12/22/2003

PRIORITY DATE

12/23/2002

CONFIRMATION NO. 4987

371 FORMALITIES LETTER



OC000000018055006

Date Mailed: 02/17/2006

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 06/20/2005
- Copy of the International Search Report filed on 06/20/2005
- Copy of IPE Report filed on 06/20/2005
- Copy of Annexes to the IPER filed on 06/20/2005
- Preliminary Amendments filed on 06/20/2005
- Information Disclosure Statements filed on 06/20/2005
- Oath or Declaration filed on 06/20/2005
- Request for Immediate Examination filed on 06/20/2005
- Copy of references cited in ISR filed on 06/20/2005
- U.S. Basic National Fees filed on 06/20/2005
- Priority Documents filed on 06/20/2005
- Power of Attorney filed on 06/20/2005
- Specification filed on 06/20/2005
- Claims filed on 06/20/2005
- Abstracts filed on 06/20/2005
- Drawings filed on 06/20/2005

Missing Reo Doe (2mo) 4-17-06

D

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:

- is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$130** for a Large Entity:

- **\$130** Surcharge.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

BARBARA A CAMPBELL

Telephone: (703) 308-9140 EXT 217

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/539,722	PCT/CA03/02002	ALCN-122US